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United States Coast Guard

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COMDTNOTE 7044
JUL 17 2001
CANCELLED: JUL 16 2002

COMMANDANT NOTICE 7044

Subj: CH-1 TO RESEARCH, DEVELOPMENT, TEST AND EVALUATION (RDT&E) APPROPRIATION;
PROCEDURES FOR OBTAINING SERVICES AND APPROPRIATION DEFINITION, COMDTINST
7044.1A

1. PURPOSE. This Notice publishes changes to Research, Development, Test and Evaluation (RDT&E) Appropriation; Procedures For Obtaining Services and Appropriation Definition, COMDTINST 7044.1A.
2. ACTION. Area and district commanders; commanders of maintenance and logistics commands; commanding officers of Headquarters units; and assistant commandants for directorates shall ensure the contents of this Instruction are considered when accessing RDT&E services.
3. DIRECTIVES AFFECTED. None.
4. SUMMARY OF CHANGES. Correction to Commandant (G-CIR) intranet address cited in Enclosure (2); addition of Enclosure (4), which describes the functions and membership of the various program management boards and councils of the Research and Development (R&D) Program.
5. PROCEDURE.

a. Remove and discard:
Enclosure (2)

Insert:
Enclosure (2), CH-1

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Enclosure (4) pages 1-2, CH-1

V. S. CREA
Director of Information and Technology

Encl: (1) CH-1 to Research, Development, Test And Evaluation (RDT&E) Appropriation; Procedures For
Obtaining Services and Appropriation Definition, COMDTINST 7044.1A

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PROCEDURE FOR OBTAINING RDT&E SERVICES

The R&D Program has recently implemented simplified, more responsive procedures for suggesting/requesting and selecting projects. The goal of these new procedures is to *encourage potential customers from throughout the Coast Guard to submit product ideas or request R&D assistance at any time*. Appendix D to directorate Business Plans (**R&D Requirements**) will continue to be a source (along with the rest of the directorate's Business Plan) for potential RDT&E investments. Other planning documents used include: DOT/NSTC Plans; The Coast Guard IT Plan; budget information; GPRA goals/guidance; the CG Strategic Plan; the Agency Capital Plan; information on CG Major Acquisitions; the C4ISR/OATP; Regional Strategic Assessments; and congressional guidance/mandates (Q&As, directives, etc.).

R&D Idea/Request Submission Procedures:

1. All Coast Guard personnel may submit requests for R&D assistance or R&D product ideas at any time using the Idea Submission format provided below. The idea or request should be submitted to the R&D Program Manager (G-CIR) with copies to the CO, R&D Center and the submitter's chain of command as necessary.¹ The submission may take any written form (e-mail, letter, memo, etc) that is convenient for the submitter and acceptable to the submitter's chain of command.
2. Receipt of the submission prompts a New Product Gating (NPG) Gate 1 screening. The NPG screening process is described and explained in Enclosure (1) to this directive.
3. G-CIR will transmit the Gate 1 screening results to the submitter by the most expeditious means available (e-mail when possible). Feedback is typically provided within one month of the submission's receipt. Work on submissions that successfully pass the initial (Gate 1) screening begins immediately.

Idea Submission Format: (An example can be viewed on the Coast Guard Web at:

[<http://cgweb.comdt.uscg.mil/g-esir/G-CIR/ReqFormatNEW.doc>](http://cgweb.comdt.uscg.mil/g-esir/G-CIR/ReqFormatNEW.doc))

1. **Problem Statement:** A clear, concise statement of the problem or need requiring R&D support. Specify the desired/recommended performance improvement, and the related specific mission requirement. (This will be reviewed and refined at each stage of the NPG process.)
2. **Idea:** A brief description of the technology, product, investigation, model, etc (this portion is required only if the submitter is proposing a solution to the problem or need).
3. **Benefit:** A description of the expected impact on the Coast Guard if the problem was solved and/or the proposed idea was successfully developed and implemented.

¹ Formal review by submitter's Program Manager occurs at NPG Gate 2.

RESEARCH AND DEVELOPMENT PROGRAM MANAGEMENT

Several governing and administrative bodies have been established to provide direction, guidance and oversight for the Research and Development (R&D) Program. The following paragraphs describe the responsibilities, functions and membership of each:

1. **R&D Investment Board** - The R&D Investment Board (RDIB) provides senior management oversight to the work being carried out by the R&D Program. The RDIB meets annually in the Sept-Oct timeframe to approve the R&D Strategic Plan. The membership does not change. The RDIB will brief the CG Investment Board annually regarding R&D Program strategy and significant projects requiring OE/AC&I implementation/follow-on funding.

Members: R&D Program Director (G-CIT - Chair)

Planning/Resource Directors from:

Acquisition (G-A-1)

Marine Safety and Environmental Protection (G-MRP)

Operations (G-OR)

Systems (G-SR)

Human Resources (G-WR)

Office of Plans, Policy and Evaluation (G-CPP) representative.

Non-voting members: R&D Program Manager (G-CIR)

CO, R&D Center

R&D Center Technical Director

Office of R&D Technical/Policy Advisor

Office of Programs (G-CPA) R&D Program Reviewer.

2. **R&D Management Board** - The R&D Management Board (RDMB) meets quarterly to set and review the Program's strategic direction, goals, and overall business strategy, including the identification of broad investment areas that guide R&D Program investment decisions over a 3-5 year timeframe. Their decisions are based upon R&D customer feedback and analysis of the Regional Strategic Assessments, Headquarters Business Plans, the Agency Capital Plan, the Coast Guard Strategic Direction and the Annual Performance Plan. They also provide the RDIB with validation and/or recommended changes to the existing R&D Program Strategy.

Members: R&D Program Manager (G-CIR - Chair)

R&D Program Technical/Policy Advisor

R&D Program Resource Advisor

R&D Center Commanding Officer

R&D Center Technical Director

R&D Center Resource Director

3. **The Portfolio Management Council** - The Portfolio Management Council (PMC) meets monthly and is responsible for executing the RDMB's strategy. This is done by focusing the Program's resources into product lines within each Investment Area, establishing desired portfolio characteristics including a range of risk, projected return on investment, time to market, a mix of technology push vs. pull, etc., and by setting resource allocation targets. The PMC establishes criteria and methodologies for making investment

decisions and distributes these criteria to R&D Program staff, the Resource Allocation Council, customers, and other stakeholders. The PMC is charged with making high-cost Gate 2 and all Gate 3 and beyond investment decisions and with managing the R&D Program's portfolio to achieve the goals set by the RDMB.

Members: R&D Center Technical Director (Chair)
Office of R&D Technical/Policy Advisor
R&D Center Resource Director
R&D Center Management Analyst

4. **Resource Allocation Council** - The Resource Allocation Council (RAC) meets on an *ad hoc* basis, but within 2 weeks of receiving recommendations from the New Product Council (NPC). The RAC approves and allocates resources to New Product Gating (NPG) process Gate 1 submissions and Gate 2 approvals, and provides funding status to the Portfolio Management Council for subsequent Gates.

Members: R&D Center Comptroller (Chair)
R&D Center Technical Division Chiefs (3)

5. **New Product Council** - The New Product Council (NPC), made up of five senior technical staff, meets *ad hoc* (within 30 days of Gate 1 submissions) to screen all ideas and products as they pass through NPG Gates 1 and 2 to ensure they meet established criteria. The NPC has "kill" authority at these early gates, and provides "go/kill" decisions and resource recommendations to the Resource Allocation Council (RAC), as well as Investment Area change recommendations to the PMC. The R&D Program Manager (G-CIR) appoints members during August for a term of one year, to change each fiscal year.

Members: Two Headquarters R&D Program Coordinators
Three R&D Center Program Area Managers